

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Vladimir Neyman, et al.

Date: June 29, 2001

Serial No.: not yet known

Group Art Unit: not yet assigned

Filed: June 29, 2001

Examiner: not yet assigned

For: COMPOUND ORDER HANDLING IN AN ANONYMOUS TRADING SYSTEM

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Asst. Commissioner for Patents

Washington, D.C. 20231

**PRELIMINARY AMENDMENT**

Preliminary to the examination of the above-identified application, please amend the application as follows:

**FEE CALCULATION**

No fee is required.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

**CONTINGENT EXTENSION REQUEST**

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

## AMENDMENTS

☒ If checked, amendments to the claims are submitted herewith.

### Claims:

Please amend claims 23, 24, 26, 27 and 29 pursuant to 37 C.F.R. § 1.121(c)(i) as set forth in the “clean” version attached hereto as Appendix A. Entry is respectfully requested. A version with markings to show the changes made pursuant to 37 C.F.R. § 1.121(c)(ii) is attached hereto as Appendix B.

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## REMARKS/ARGUMENT

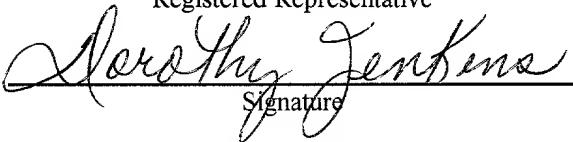
Claims are amended to eliminate multiple dependencies in claims dependent (directly or indirectly) from multiple dependent claims.

### EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL075473389US) in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231, on June 29, 2001

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Name of applicant, assignee or  
Registered Representative

  
Signature

June 29, 2001

Date of Signature

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Respectfully submitted,



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**APPENDIX A**  
**“CLEAN” VERSION OF EACH PARAGRAPH/SECTION/CLAIM**  
**37 C.F.R. § 1.121(b)(ii) AND (c)(i)**

**CLAIMS (with indication of amended or new):**

Amended 23. An anonymous trading system according to any of claims 16, 18, 19 or 21, wherein the means for matching joint execution orders comprises, at the broker, means for matching each order of the compound order and, if less than all of the orders can be matched, for rejecting the joint execution order.

Amended 24. An anonymous trading system according to claim 23, wherein the joint execution orders are invisible hits.

Amended 26. An anonymous trading system according to claim 16, wherein the means for matching and executing joint execution orders comprises means at the trading agent for sending to the broker a message instructing a joint execution order.

Amended 27. An anonymous trading system according to any of claims 16, 18-19, 21 or 26, wherein the means for matching and executing joint execution orders comprises means for receiving a message indicating that each of said orders comprising said joint execution order is executable and means for completing the joint execution order only when all orders in the joint execution order are executable.

Amended 29. An anonymous trading system according to claim 27, wherein the means for matching and executing joint execution orders comprises means for adjusting the volume of each of the orders to correspond to the volume of the smallest executable order of the joint execution order.

**APPENDIX B**  
**VERSION WITH MARKINGS TO SHOW CHANGES MADE**  
**37 C.F.R. § 1.121(b)(iii) AND (c)(ii)**

**CLAIMS:**

23. An anonymous trading system according to any of claims 16, 18, 19 or 21 [to 22], wherein the means for matching joint execution orders comprises, at the broker, means for matching each order of the compound order and, if less than all of the orders can be matched, for rejecting the joint execution order.
24. An anonymous trading system according to [any of claims 16 to] claim 23, wherein the joint execution orders are invisible hits.
26. An anonymous trading system according to claim 16 [or 17], wherein the means for matching and executing joint execution orders comprises means at the trading agent for sending to the broker a message instructing a joint execution order.
27. An anonymous trading system according to any of claims 16, 18-19, 21 or 26 [to 26], wherein the means for matching and executing joint execution orders comprises means for receiving a message indicating that each of said orders comprising said joint execution order is executable and means for completing the joint execution order only when all orders in the joint execution order are executable.
29. An anonymous trading system according to claim 27 [or 28], wherein the means for matching and executing joint execution orders comprises means for adjusting the volume of each of the orders to correspond to the volume of the smallest executable order of the joint execution order.